

Background Materials
MCJISP Subcommittees for Standards and Best Practices
(Compiled February 2001)

General Justice Standards

American National Standard for Information Systems—Data Format for the Interchange of Fingerprint, Facial, & Scar Mark & Tattoo (SMT) Information (ANSI/NIST-ITL 1-2000), July 27, 2000

Best Practice Recommendation for the Capture of Mugshots, Version 2.0, NIST, September 23, 1997

Interstate Criminal History Transmission Specification, XML Version 2.0, Joint Task Force on Rap Sheet Standardization, April 2001

Justice and Public Safety XML Data Element Definitions, Draft 0.04, Sept. 17, 2001, Office of Justice Programs XML Technology Working Group

Justice XML Data Dictionary, Version 1.1, NLETS, May 10, 2001

XML Standards Development Project Electronic Court Filing Proposed Standards, January 4, 2001

General Topical Information

And Justice for All: Designing Your Business Case for Integrating Justice Information: An Executive Briefing for Leaders of Justice Organizations, Center for Technology in Government University at Albany / SUNY, 2000

The Global Justice Information Network: An Introductory Report on Infrastructure, Issued by Infrastructure/Standards Working Group Global Justice Information Network Advisory Committee, June 2000

IJIS Standards -A Reconnaissance Mission, March 23, 2001, Final Version, Submitted by the Integrated Justice Information Systems Industry Working Group Standards Subcommittee

Integrated Criminal Justice Information Systems: So Many Standards, So Little Time, Jim Threatte, Presentation to the Integrated Justice Information Systems – Industry Working Group, July 1999 (draft)

Integration in the Context of Justice Information Systems: A Common Understanding, SEARCH, October 2001

Planning the Integration of Justice Information Systems: Developing Justice Information Exchange Points, Project Background Report, SEARCH, March 2000; follow-up draft report, *Detailed Methodology Underlying the Justice Exchange Model (JEM)*, Oct. 10, 2001

Report on the National Task Force on Court Automation and Integration, Bureau of Justice Statistics, US Department of Justice, 1999

“Technology considerations in the development of integrated justice data exchange standards,” IJIS Industry Working Group, May, 2001

Related Standards

AAMVA National Standard for the Driver License/Identification Card, AAMVA DL/ID-2000, June 30, 2000

CJIS/Standards Examples (printed materials)

Colorado

1. Integrated CJIS Data Dictionary
2. Integrated CJIS Connectivity Standards

Kansas

1. Data Dictionary Standards
2. Messaging Standards
3. Application Standards
4. Mug Shot Photo Standards

Washington

1. Justice Information Network Justice Overview, Justice Data Architecture
2. Data Dictionary/Data Sharing Strategy
3. Data Usage Matrix for Justice Processes (data used by each major justice process)
4. Data Usage Matrix for Justice Interfaces (data in justice interfaces)

North Carolina

1. Data Sharing Standards Description
2. Top 50 Data Elements

Arizona

1. Arizona Criminal Justice Information Data Sharing Project 1999 (introduction)
2. Arizona Data Flow Charts (note: image quality is poor)

Alaska

1. Data Dictionary

Web Pages

States:

Colorado CJIS Standards for connecting to the CJIS system:

http://www.state.co.us/gov_dir/cicjis/cicjisstandards/cicjis-stand04-01-01.html

Colorado Data Dictionary: http://www.state.co.us/gov_dir/cicjis/cicjissystems/data-dict.html

Kansas access to CJIS_web page: www.kbi.state.ks.us/

Kentucky Unified Criminal Justice Information Systems:

<http://www.state.ky.us/agencies/ucjis/>

Montana ITSD Statewide Implementation Plan:

<http://www.state.mt.us/isd/content/itplanning/ISD-ITP2000.pdf>

Montana Policies and Statutes:

www.state.mt.us/isd/css/about/statutespolicies.asp.

Montana standards for software and hardware:

www.state.mt.us/isd/css/compenv/compenv.asp.

North Carolina data sharing: <http://www.cjin.jus.state.nc.us/sharing.htm>

North Carolina statewide technical standards and best practices:

<http://irm.state.nc.us/techarch/archfrm.htm>

New York data dictionary: <http://criminaljustice.state.ny.us/dict/dict.htm>

Oregon State Police: www.osp.state.or.us/

South Dakota state wide IT standards: <http://www.state.sd.us/boa/computers/standards>

Washington State Justice Information Network Standards Website:

<http://www.wa.gov/dis/jin/JINstds.html>

Other sites:

American Association of Motor Vehicle Administrators (AAMVA) standard for driver licenses www.aamva.org/standards/index.asp.

Legal XML: <http://www.legalxml.org/>

XML Court Filing Proposed Standards:

<http://www.legalxml.org/DocumentRepository/index.htm>

NGA Center for Best Practices Justice Information Technology site:

http://www.nga.org/center/topics/1,1188,C_CENTER_ISSUE^D_2462,00.html

NIST Imaging Standards: <http://www.nist.gov/srd/special.htm>

NIST Mugshots: <http://www.itl.nist.gov/iaui/vip/face/face.html> and best practices at http://www.itl.nist.gov/iaui/vip/face/bpr_mug3.html

NIST fingerprint standards:

http://www.itl.nist.gov/iaui/vip/fing/fing.html#ANSI_NIST_ITL_1_2000

ftp://sequoyah.nist.gov/pub/nist_internal_reports/sp500-245-a16.pdf

Office of Justice Programs (OJP) Information Technology Initiatives and Global web pages: www.it.ojp.gov/index.html.

<http://www.it.ojp.gov/global.index.html>.

SEARCH: <http://www.search.org>

How did other states develop standards? A sample list:

- **Legislatively mandated CJIS Authorities:** Several states have legislatively mandated boards or groups that were charged with improving criminal justice information. Part of the CJIS efforts included the development of standards such as data dictionaries. Some examples of these states are:
 - Colorado: The Colorado Integrated CJIS (CICJIS) was mandated by legislative action that defined the composition of CICJIS to include the Departments of Public Safety, Corrections, and Human services, and the Colorado Judicial Branch. The legislation required the development of a strategic plan for the implementation and maintenance of an integrated criminal justice information system. Since the existing legacy systems were required to be integrated, the state decided that each system would be "modified to conform to a common definition of this data as provided by the source system" (CO Strategic Plan 2001).
 - Washington: According to the Washington State Justice Information Network web page, "Washington's Criminal Justice Information Act Executive Committee determined that the best way to implement the sharing of criminal justice data is to create a "data architecture" that identifies the information used by criminal justice agencies and describes its meaning, form and data values." The Executive Committee created a Justice Data Architecture Subcommittee to do this.
 - Alaska: In Alaska, the Criminal Justice Advisory Board that sponsored an Improvement Plan which included data standards. The Board also sponsored development of transaction standards for interfaces.
 - Kentucky: The Kentucky Criminal Justice Council was created by law in 1998. The Council established a Technical Work Group which has responsibility for creating standards. The participants were looking for a specific area that all agencies had in common and which could serve as a springboard for the process; accordingly, the first standards were developed for the statewide citation (charging document for all offenses including traffic). Kentucky has also agreed to adopt the emerging national standards using XML.
 - Oregon: Oregon statutes mandated the establishment of a Criminal Justice Information Standards Program to facilitate data access and exchange among criminal justice agencies. The resulting CJIS Design Project included a conceptual design and standards for the new system, which involves 10 criminal justice agencies.
- **No Legislative Mandate Found:**
 - New York: In New York, the Data Dictionary was part of a Data Standardization Project coordinated by the Division of Criminal Justice Services and was intended to create a common language to facilitate the automated exchange of data. This was an effort by 20 different criminal justice agencies.
 - Arizona: Arizona has a legislatively mandated Criminal Justice Commission similar to Montana's Board of Crime Control, but Arizona's data dictionary appears to have come out of an integration project sponsored primarily by the

courts with the participation of the Commission along with the state's information technology authority and central IT staff.

- **Data Dictionary Resulting from Implementation of Electronic Disposition Reporting:**
 - Texas: Texas replaced the paper format for reporting dispositions with standards provided to court systems, so that the required data could be transmitted electronically.
- **Other States Embarking on Standards Development:** Several states indicated that they are starting (or getting ready to start) standards development; these include Georgia, Arkansas, Alabama, South Carolina, Utah and Virginia. Wisconsin is an example of a state that is working on standards through interagency cooperation:
 - Wisconsin: The Wisconsin Justice Information Sharing Project, with voluntary members representing the criminal justice community, has workgroups involved in standards development. It has staff support through the Bureau of Justice Information Systems. A transport standard has already been adopted.

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New York Standard Practices Project

- The Standard Practices Project was an initiative recommended in the statewide Criminal Justice Records Improvement Plan, which identified the need for a comprehensive set of standard practices
- Problems identified included:
 - Widely varying practices in the submission of arrest fingerprints and charging documents
 - Delay of submitting fingerprints and failure to include the unique tracking number when the fingerprints are finally submitted
 - Failure to share key identifiers when information is moved from one agency to another
 - Failure to report prosecutor actions, including declined cases and deferred cases
 - Missing and incomplete information
- The Standard Practices Project was developed as a collaborative effort representing the entire criminal justice community
- The project was facilitated by a Steering Committee and three functional area subcommittees: arrest processing; prosecution and judicial processing, and custodial/supervision processing
- The result of the initiative was the publication of the *State Standard Practices Manual: Processing Fingerprintable Criminal Cases*, September 2001
- The manual details procedures for processing at each stage of the criminal history cycle, including
 - Use of key identifiers
 - Information and documents to be reported by the processing agency to other criminal justice agencies
 - Procedures to be followed after creation or receipt of a record
 - Notification procedures when fingerprinting has not occurred as required by law
 - Statutory requirements for fingerprinting and recordkeeping, and related agency responsibilities
 - Procedures for manual and electronic transactions
 - Timing requirements
 - Modifications and notifications of modifications
 - Dissemination of information in the criminal record
 - Monitoring cases/records for completeness and closure

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Standards Inventory Glossary of Major Terms

AFIS (Automated Fingerprint Identification System): Automated system for storing, searching, and transmitting digitized fingerprint images. IAFIS, or Integrated AFIS, refers to the NCIC's AFIS system. States with links to IAFIS are capable of transmitting graphic data such as fingerprints to the NCIC electronically through the state's telecommunications network and the CJIS Division's Wide Area Network (WAN) to IAFIS in Clarksburg, West Virginia.

APB (National Crime Information Center Advisory Policy Board): Defined by the USDOJ as an advisory committee made up of criminal justice officials, representatives of criminal justice associations, and user representatives that provide policy input to guide the FBI in the administration of the NCIC system.

CJIN (Criminal Justice Information Network): Telecommunications system developed by the Montana Department of Justice to provide access to state, regional and national criminal justice systems.

EFTS (Electronic Fingerprint Transmission Standard): Standard for fingerprint transmission adopted by the NCIC with corresponding standard (WIN EFTS) adopted by the Montana Department of Justice.

ITSD (Information Technology Services Division): Agency of the Montana Department of Administration responsible for assisting state agencies in information systems technologies and for setting policies and strategic direction for the appropriate use of information technology.

III (Interstate Identification Index): Defined by the USDOJ as an index-pointer system maintained by the FBI for the interstate exchange of criminal history records.

Joint Task Force (JTF) Rap Sheet: Standard for rap sheet presentation and transmission recommended by the Joint Task Force Rap Sheet Standardization Project, using XML. The JTF membership consists of federal, state, and subject expert representatives including the FBI's Criminal Justice Information Services Division, the APB, NLETS, and SEARCH.

Legal XML Electronic Court Filing Standard: Standard for electronic court filing recommended by the LegalXML Court Filing Standard Initiative. This initiative was started by the Conference of State Court Administrators / National Association of Court Managers Joint Technology Committee (JTC) in a coalition with the non-profit LegalXML organization.

NCIC (National Crime Information Center): Defined by the USDOJ as an automated, nationally accessible database of criminal justice and justice-related records maintained

by the FBI that includes “hot files” of wanted and missing persons, stolen vehicles, and identifiable stolen property, including firearms.

NCIC 2000 (National Crime Information Center 2000): Defined by the USDOJ as the new generation of the automated NCIC system for the compilation, dissemination, and exchange of timely criminal justice information; pertinent graphic images, including mug shots, tattoos, and signatures; and records of wanted and missing persons and of identifiable stolen property. The new system became operational in 1999.

NIST (National Institute of Standards and Technology): Standards agency within the US Department of Commerce. The NIST standard for fingerprints, facial (mug shots), and scars/marks/tattoos are set forth in the report *American National Standard for Information Systems – Data Format for the Interchange of Fingerprint, Facial, Scar Mark Tattoo (SMT) Information, ANSI-NIST ITL-1 2000*.

NLETS (National Law Enforcement Tele-communication System): Computerized, high-speed switching system created for and dedicated to the criminal justice community for the purpose of providing for the interstate and/or interagency exchange of criminal justice and criminal justice related information. In addition to criminal justice data, the system supports inquiries into state motor vehicle and other state databases.

Regional Information Sharing Systems (RISS) XML Specifications: Standard for sharing intelligence data developed by the RISS Program. The RISS Program is federally funded through the USDOJ and consists of six regional centers that share intelligence and coordinate efforts against criminal networks that operate in many locations across jurisdictional lines.

SEARCH (National Consortium for Justice Information and Statistics): Non-profit membership group created for and by the states and dedicated to the improvement of the criminal justice system through the effective application of information and identification technology. The membership group represents the 50 states plus the District of Columbia, the Virgin Islands, and Puerto Rico.

WIN (Western Identification Network): Not-for-profit cooperative of nine states and six federal agencies providing AFIS resources for members. The WINPHO project is designed as a distributed database for mug shot and other images.

XML Justice Data Dictionary: Common dictionary for use by XML justice information sharing standards; sponsored by the USDOJ Office of Justice Programs through the efforts of the XML Technology Working Group.

Standards/Policies Related To Criminal Justice Data Exchange (03/1)

Standards Subcommittee

Montana Criminal Justice Information Systems Project

Standard Type	National Standards	State Standards	Proposed State Standards
Information Sharing Standards (Data Standards, Data Dictionaries)	<u>Required:</u> <ul style="list-style-type: none"> • NIST Type 2 & 4 Fingerprint Standards • NIST Type 10 Mug Shot Standards • NLETS Users Guide • Interstate Identification Index Operations & Technical Manual • NCIC 2000 Users Manual, Messaging Standards <u>Emerging:</u> <ul style="list-style-type: none"> • Joint Task Force (JTF) Rap Sheet • Legal XML Electronic Court Filing • Regional Information Sharing Systems (RISS) XML Specifications • XML Justice Data Dictionary 	<u>Required:</u> <ul style="list-style-type: none"> • Required Federal Standards 	
Technical Standards (Application, Hardware, Network, Messaging, Transmission, Security)	<u>Required:</u> <ul style="list-style-type: none"> • Data Exchange: <ul style="list-style-type: none"> ◦ ANSI/NIST • EFTS (Electronic Fingerprint Transmission Standard) • FBI's APB CJIS Security Policy, Version 2.0 • NLETS Users Guide (security & system information, Sections 2 & 28) 	<u>Required:</u> <ul style="list-style-type: none"> • Required Federal Standards • WIN EFTS • Interface Specifications for Mobile Data Terminals (CJIN) • Network: <ul style="list-style-type: none"> ◦ TCP/IP ◦ Ethernet ◦ Cat 5 Wiring 	<ul style="list-style-type: none"> • WIN-PHO: NIST and NIST Best Practices for Mug Shots, Images

Standard Type	National Standards	State Standards	Proposed State Standards
	<p><u>Required/Allowed:</u></p> <ul style="list-style-type: none"> • Transmission Protocols: <ul style="list-style-type: none"> ○ TCIP/IP ○ SOAP ○ UDDI ○ FTP ○ HTTP <p><u>Emerging:</u></p> <ul style="list-style-type: none"> • Data Exchange: <ul style="list-style-type: none"> ○ XML 	<ul style="list-style-type: none"> ○ Netware 5.X. 6.X Operating System • Application: <ul style="list-style-type: none"> ○ Windows ○ Microsoft Suite ○ Databases: IDMS, Oracle, Access • Security: Firewall (Cisco); e-mail servers (Antigen); Desktop (McAfee) • ITSD Policies: Enterprise-wide Policies (internet, network, remote & public access, personal computers, security, tele-communications) 	
Functional and Performance Standards	<p>None Required</p> <p>Recommended: SEARCH Report on <i>Integration in the Context of Justice Information Systems: A Common Understanding</i>, October 2001.</p>		<p><u>Integration Principles from the SEARCH Report:</u></p> <ol style="list-style-type: none"> 1. Information should be captured at the originating point. 2. Information should be captured once and reused. 3. Integrated systems should be derived from operational systems of participating agencies. 4. Justice organizations should retain the right to design, operate and maintain systems to meet their own operational requirements. 5. Standards should be defined in terms of performance requirements and functional capabilities. 6. Security and privacy should be

Standard Type	National Standards	State Standards	Proposed State Standards
			<p>priorities.</p> <p>7. Integration should build on current infrastructure.</p> <p>8. Establishing and confirming positive identify of a record subject is crucial.</p> <p><u>Integration Principles in the MCJISP Mission Statement:</u> The Montana Criminal Justice Information Systems Advisory Group seeks to develop and maintain a criminal justice information system that:</p> <ul style="list-style-type: none"> • Protects the privacy rights of citizens. • Maintains the security of the information. • Allows for cost-effective information sharing among law enforcement agencies, courts and other governmental entities and the public as provided by law. • Avoids unnecessary duplication. <p><u>Functional Standards from the MCJISP Mission Statement:</u></p> <p>1. Every MT criminal justice agency shall be able to determine the MT correctional status (incarcerated, on parole, on probation, under community services or correctional supervision) within two</p>

Standard Type	National Standards	State Standards	Proposed State Standards
			<p>minutes, with status currency of 24 hours.</p> <p>2. Every MT criminal justice agency shall be able to obtain the MT criminal history record of a person who has one, within 4 minutes, with history currency of 24 hours.</p>